



IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In Re the Application of:

NIKOLAI G. NIKOLOV

Application No.: 10/749,757

Filed: December 30, 2003

For: **Application Tracing Service Employing  
Different Levels Of Precision For  
Modifying Bytecode**

Art Group: 3627

Examiner: Unassigned

**INFORMATION DISCLOSURE STATEMENT UNDER 37 C.F.R. §1.97**

Commissioner for Patents  
P.O. Box 1450  
Alexandria, VA 22313-1450

In accordance with the duty of disclosure, enclosed is a copy of IDS Citation Form PTO/SB/08 or PTO-1449, together with copies of the documents cited on that form, except for copies not required to be submitted (e.g., copies of U.S. patents and U.S. published patent applications need not be enclosed). This IDS and IDS Citation Form are being submitted before the mailing of a first Office Action. It is respectfully requested that the cited references be considered and that the enclosed copy of PTO/SB/08 be initialed by the Examiner to indicate such consideration and a copy thereof returned to applicant(s).

The submission of this Information Disclosure Statement is not to be construed as a representation that a search has been made in the subject application and is not to be construed as an admission that the information cited in this statement is material to patentability.

Please charge any fees due to Deposit Account 02-2666. A duplicate copy of the Fee Transmittal (PTO/SB/17) is enclosed for this purpose.

Respectfully submitted,

BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP

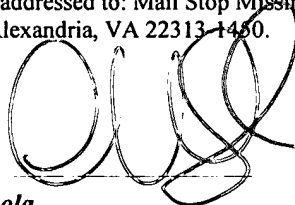


Robert B. O'Rourke, Reg. No. 46,972

Date: 1/17/05

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Los Angeles, CA 90025  
Telephone: (408) 720-8300

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*Carla Vignola*



*Date*

*(use as many sheets as necessary)*

Sheet **1** of **3**

Application Number	10:749,757
Filing Date	12-30-2003
First Named Inventor:	Nikolai G. Nikolov
Art Unit	3627
Examiner Name	Unassigned
Attorney Docket Number	006570.P037

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Examiner Signature		Date Considered	
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This collection of information is required by 37 CFR 1.97 and 1.98. The information is required to obtain or retain a benefit by the public which is to file (and by the USPTO to process) an application. Confidentiality is governed by 35 U.S.C. 122 and 37 CFR 1.14. This collection is estimated to take 2 hours to complete including gathering, preparing, and submitting the completed application form to the USPTO. Time will vary depending upon the individual case. Any comments on the amount of time you require to complete this form and/or suggestions for reducing this burden, should be sent to the Chief Information Officer, U.S. Patent and Trademark Office, P.O. Box 1450, Alexandria, VA 22313-1450. DO NOT SENT FEES OR COMPLETED FORMS TO THIS ADDRESS.

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Based on Form PTO/SB/08A (08-03) as modified by BLAKELY, SOKOLOFF, TAYLOR & ZAFMAN LLP on 09/10/03.

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

**Complete if Known**

Application Number	10/749,757
Filing Date	12-30-2003
First Named Inventor:	Nikolai G. Nikolov
Art Unit	3627
Examiner Name	Unassigned
Attorney Docket Number	006570.P037

Sheet	2	of	3
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**NON PATENT LITERATURE DOCUMENTS**

Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>2</sup>
		IAN WELCH, et al., "Kava- A Reflective Java Based on Bytecode Rewriting" SpringerLink –Verlag Berling Heidelberg 2000, Chapter, Lecture Notes in Computer Science, W. Cazzola, et al. Editors, Reflection and Software Engineering, LNCS, pages 155-167.	
		Wily Technology, Inc., Wily Solutions "How Introscope® Works" – Enterprise Application Management, <a href="http://www.wilytech.com/solutions/products/howWorks.html">http://www.wilytech.com/solutions/products/howWorks.html</a> , 1999-2004, printed 7/2/2004 (1 page).	
		BEN STEPHENSON, et al., "Characterization and Optimization of Java Applications" Department of Computer Science, Abstract in Western Research Forum Program & Abstracts, page 20, 2003.	
		Wily Technology, Inc., Wily Solutions "Wily Introscope®" – Enterprise Application Management, <a href="http://www.wilytech.com/solutions/products/Introscope.html">http://www.wilytech.com/solutions/products/Introscope.html</a> , 1999-2004, printed 7/2/2004 (2 pgs.).	
		Sun Microsystems, Java – J2EE 1.4 Application Server Developer's Guide, "Debugging J2EE Applications" Chapter 4, <a href="http://java.sun.com/j2ee/1.4/docs/devguide/dgdebug.html">http://java.sun.com/j2ee/1.4/docs/devguide/dgdebug.html</a> , 2003, printed 7/2/2004 (11 pgs.).	
		Wily Technology, Inc., Wily Technology, Inc., Wily Solutions "The Wily 5 Solution – Enterprise Applications are Your Business", <a href="http://www.wilytech.com/solutions/ibm_family.html">http://www.wilytech.com/solutions/ibm_family.html</a> , 1999-2004, printed 7/2/2004 (2 pgs.)	
		AJAY CHANDER et al., "Mobile Code Security by Java Bytecode Instrumentation", Proceedings of the DARPA Information Survivability Conference & Exposition DISCEX-II 2001, June 12-14, 2001, Stanford University and University of Pennsylvania, [*Partially supported by DARPA contract N66001-00-C-8015 and ONR grant N00014-97-1-0505] (14 pgs.)	
		Mobile-Code Security Mechanisms for Jini – "Mobile-Code Security Mechanisms for Jini" Download code, DISCEX 2001 Paper, <a href="http://theory.stanford.edu/people/jcm/software/jinifilter.html">http://theory.stanford.edu/people/jcm/software/jinifilter.html</a> , printed 7/2/2004 – (3 pgs.)	
		ALLEN GOLDBERG, et al., "Instrumentation of Java Bytecode for Runtime Analysis", Fifth ECOOP Workshop on Formal Techniques for Java-like Programs, July 21, 2003, Kestrel Technology, NASA Ames Research Center, Moffett Field, California USA, (9 pgs.).	
		ALGIS RUDYS, et al., "Enforcing Java Run-Time Properties Using Bytecode Rewriting", International Symposium on Software Security (Tokyo, Japan), November 2002, Rice University, Houston, TX 77005, USA (16 pgs.).	
		HAN BOK LEE, et al., "BIT: A Tool for Instrumenting Java Bytecodes", originally published in the Proceedings of the USENIX Symposium on Internet Technologies and Systems, Monterey, California, December 1997, <a href="http://www.usenix.org/">www.usenix.org/</a> (11 pgs.).	

Examiner Signature	Date Considered
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\*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

<sup>1</sup>Applicant's unique citation designation number (optional). <sup>2</sup>Applicant is to place a check mark here if English Translation is attached.  
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# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Complete if Known

Sheet	3	of	3	Application Number	10/749,757
				Filing Date	12-30-2003
				First Named Inventor:	Nikolai G. Nikolov
				Art Unit	3627
				Examiner Name	Unassigned
				Attorney Docket Number	006570.P037

## NON PATENT LITERATURE DOCUMENTS

Examiner Initials*	Cite No <sup>1</sup>	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published	T <sup>2</sup>
		REINHOLD PLOSH, Johannes Kepler University Linz, Austria, "Evaluation of Assertion Support for the Java Programming Language", JOT: Journal of Object Technology, Vol. 1, No. 3, Special issue: TOOLS USA 2002 Proceedings, pp. 5-17, <a href="http://www.jot.fm/issues/issue_2002_08/article1">http://www.jot.fm/issues/issue_2002_08/article1</a>	
		ETIENNE GAGNON, et al., "Effective Inline-Threaded Interpretation of Java Bytecode Using Preparation Sequences", Sable Research Group, Université du Québec à Montréal and McGill University, Montreal, Canada, January 2003 (15 pgs.)	
		GEOFF A. COHEN, et al., Software-Practice and Experience, [Version: 2000/03/06 v2.1] "An Architecture for Safe Bytecode Insertion", Department of Computer Science, Duke University (27 pgs.)	
		REYNALD AFFELDT, et al., "Supporting Objects in Run-Time Bytecode Specialization", Department of Graphics and Computer Science, University of Tokyo, ASIA-PEPM '02, September 12-17, 2002, ACM, pp. 50-60.	
		NATHAN MACRIDES, Security Techniques for Mobile Code "SANS Security Essentials (GSEC) Practical Assignment Version 1.4", July 11, 2002, (11 pgs.)	
		DYLAN McNAMEE, et al., "Specialization Tools and Techniques for Systematic Optimization of System Software", Oregon Graduate Institute of Science & Technology, and University of Rennes/IRISA, ACM Transactions on Computer Systems, 2001 (30 pgs.)	
		WEN LI, et al., "Collaboration Transparency in the DISCIPLE Framework", CAIP Center, Rutgers – The State University of New Jersey, Piscataway, NJ, USA, Proceeding of the ACM International Conference on Supporting Group Work (Group '99) November 14-17, 1999, Phoenix, AZ, (10 pgs.)	
		JONATHAN DAVIES, et al., Proceedings of the 2nd international conference on "An Aspect Oriented Performance Analysis Environment", 10 pgs., 2003, Boston, Massachusetts March 17 - 21, 2003.	
		PETER W. GILL, "Probing for a Continued Validation Prototype", a Thesis Submitted to the Faculty of the Worcester Polytechnic Institute, May 2001, (111 pages)	

Examiner Signature	Date Considered
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\*Examiner: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.

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<b>TRANSMITTAL FORM</b> <i>(to be used for all correspondence after initial filing)</i>	Application No.	10/749,757
	Filing Date	December 30, 2003
Total Number of Pages in This Submission 30	First Named Inventor	Nikolai G. Nikolov
	Art Unit	3627
	Examiner Name	Unassigned
	Attorney Docket Number	6570P037

ENCLOSURES (check all that apply)		
<input checked="" type="checkbox"/> Fee Transmittal Form  <input type="checkbox"/> Fee Attached  <input type="checkbox"/> Amendment / Response  <input type="checkbox"/> After Final <input type="checkbox"/> Affidavits/declaration(s)  <input type="checkbox"/> Extension of Time Request  <input type="checkbox"/> Express Abandonment Request  <input checked="" type="checkbox"/> Information Disclosure Statement <input checked="" type="checkbox"/> PTO/SB/08  <input type="checkbox"/> Certified Copy of Priority Document(s)  <input type="checkbox"/> Response to Missing Parts/Incomplete Application <input type="checkbox"/> Basic Filing Fee <input type="checkbox"/> Declaration/POA  <input type="checkbox"/> Response to Missing Parts under 37 CFR 1.52 or 1.53	<input type="checkbox"/> Drawing(s)  <input type="checkbox"/> Licensing-related Papers  <input type="checkbox"/> Petition  <input type="checkbox"/> Petition to Convert a Provisional Application  <input type="checkbox"/> Power of Attorney, Revocation Change of Correspondence Address  <input type="checkbox"/> Terminal Disclaimer  <input type="checkbox"/> Request for Refund  <input type="checkbox"/> CD, Number of CD(s)	<input type="checkbox"/> After Allowance Communication to Group  <input type="checkbox"/> Appeal Communication to Board of Appeals and Interferences  <input type="checkbox"/> Appeal Communication to Group (Appeal Notice, Brief, Reply Brief)  <input type="checkbox"/> Proprietary Information  <input type="checkbox"/> Status Letter  <input checked="" type="checkbox"/> Other Enclosure(s) (please identify below): <div style="border: 1px solid black; padding: 5px; margin-top: 10px;">Cited articles enclosed (21); Return postcard.</div>
Remarks		

SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT	
Firm or Individual name	Robert B. O'Rourke, Reg. No. 46,972 <b>BLAKELY, SOKOLOFF, TAYLOR &amp; ZAFMAN LLP</b>
Signature	
Date	1/27/05

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Typed or printed name	Carla Vignola		
Signature		Date	2-4-05



# FEE TRANSMITTAL for FY 2005

Patent fees are subject to annual revision.

☐ Applicant claims small entity status. See 37 CFR 1.27.

TOTAL AMOUNT OF PAYMENT (\$) 0.00

Complete if Known

Application Number 10/749,757  
Filing Date December 30, 2003  
First Named Inventor Nikolai G. Nikolov  
Examiner Name Unassigned  
Art Unit 3627  
Attorney Docket No. 6570P037

## METHOD OF PAYMENT (check all that apply)

☐ Check ☐ Credit card ☐ Money Order ☒ None ☐ Other (please identify):  
☒ Deposit Account Deposit Account Number: 02-2666 Deposit Account Name: Blakely, Sokoloff, Taylor & Zafman LLP

For the above-identified deposit account, the Director is hereby authorized to: (check all that apply)

☐ Charge fee(s) indicated below ☐ Charge fee(s) indicated below, except for the filing fee  
☒ Charge any additional fee(s) or underpayment of fee(s) under 37 CFR §§ 1.16, 1.17, 1.18 and 1.20. ☒ Credit any overpayments

## FEE CALCULATION

Large Entity		Small Entity		Fee Description	Fee Paid
Fee Code	Fee (\$)	Fee Code	Fee (\$)		
1051	130	2051	65	Surcharge - late filing fee or oath	
1052	50	2052	25	Surcharge - late provisional filing fee or cover sheet.	
2053	130	2053	130	Non-English specification	
1251	120	2251	60	Extension for reply within first month	
1252	450	2252	225	Extension for reply within second month	
1253	1,020	2253	510	Extension for reply within third month	
1254	1,590	2254	795	Extension for reply within fourth month	
1255	2,160	2255	1,080	Extension for reply within fifth month	
1401	500	2401	250	Notice of Appeal	
1402	500	2402	250	Filing a brief in support of an appeal	
1403	1,000	2403	500	Request for oral hearing	
1451		2451		Petition to institute a public use proceeding	
1460	130	2460	130	Petitions to the Commissioner	
1807	50	1807	50	Processing fee under 37 CFR 1.17(q)	
1806	180	1806	180	Submission of Information Disclosure Stmt	
1809	790	1809	395	Filing a submission after final rejection (37 CFR § 1.129(a))	
1810	790	2810	395	For each additional invention to be examined (37 CFR § 1.129(b))	
Other fee (specify)					0.00
SUBTOTAL (2)					(0.00)

## SUBMITTED BY

Name (Print/Type)	Robert B. O'Rourke	Registration No. (Attorney/Agent)	46,972	Telephone	(408) 720-8300
Signature		Date	1/27/05		